

**Initiative Definition**

## Initiative Definition

Template Name	BY2020
Is this investment a consolidated business case?	No
Consolidated Business Case Parent Investment(s)	
Investment Name	BAS - Budget Automation System
Investment Revision Number	39
Point of Contact	Chin, Derek
Revision Comment	
Class	IT

**Administrative Information**

## Administrative Information

Agency	Environmental Protection Agency
Bureau	Office Of The Chief Financial Officer
Name of this Investment	BAS - Budget Automation System
Unique Investment Identifier 9 Digit Code	000010061
Full UPI/UII Code	020-000010061 00-00-02-16-02-00
OMB Investment Category	00
Part of Agency IT Portfolio Summary	IT Investments for Mission Delivery and Management Support
OMB Investment Type	02 - Non-Major IT Investment

OMB Major Mission Area

Multi-Goal IT Investments

Previous (UII) (12 digits required for all legacy investments)

020-000010061 00-00-01-01-02-00

Cost Tracking IT Code

BC

***Investment Overview***

## General Information

Key Project Dates

Project initiation date:

1/1/2001

Planning, Acquisition, or Development completion date: 1/1/2001

Scheduled retirement date:

12/30/2016

How does the investment support EPA's Mission, Strategic Goals, Sub-Objectives, Program Activities and Objectives?

BAS provides consolidated budgeting system for the entire agency for congressional justifications, OMB, operating plan, and other miscellaneous functions.

The new Budget Formulation System would provide consolidated budgeting system for the entire agency for congressional justifications, OMB, operating plan, and other miscellaneous functions.

Identify any systems within or outside the Agency with which the investment has interdependencies. Describe the nature of the interdependency.

BAS interfaces with Compass Reporting and Compass. BAS data sets provide the base budget information for Compass.

Who are the Customers, Stakeholders, and Collaborators, including Regions and other partners?

The agency, OMB, and Congress

Contact information of Program/Project Manager?

Program/Project Manager Name

Chin, Derek J

Program/Project Manager E-mail

chin.derek@epa.gov

Program/Project Manager Phone Number

202-564-1895

Is the investment 508 compliant?

N/A

If yes, provide the date and describe how compliance was verified:

Does the investment have a complete and accurate record in READ?

Yes

### ***Budget Information***

#### Summary of Funding

## Life Cycle Costs FOR PROJECT STAGES

\* Costs in thousands

	PY - 6 2012 and Prior	PY - 5 2013	PY - 4 2014	PY - 3 2015	PY - 2 2016	PY - 1 2017	PY 2018	CY 2019	BY 2020	BY + 1 2021	BY + 2 2022	BY + 3 2023	BY + 4 2024	BY + 5 2025	BY + 6 2026	BY + 7 2027	BY + 8 2028 and Beyond	Total
Planning Costs																		
Budgetary Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
DME (Excluding Planning) Costs																		
Budgetary Resources	84	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	84
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Planning Govt. FTE Costs																		
Budgetary Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
DME (Excluding Planning) Govt. FTE Costs																		
Budgetary Resources	390	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	390
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sub-Total DME Costs (Including Govt. FTE)																		
Budgetary Resources	474	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	474
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
O&M Costs																		
Budgetary Resources	9619	899	1280	1138	628	824	537	537	0	0	0	0	0	0	0	0	0	15462
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Disposition Costs (optional)																		
Budgetary Resources	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
O&M Govt. FTE Costs																		
Budgetary Resources	1237	197	70	120	124	71	71	71	16	0	0	0	0	0	0	0	0	1977
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Sub-Total O&M Costs (Including Govt. FTE)																		
Budgetary Resources	10856	1096	1350	1258	752	895	608	608	16	0	0	0	0	0	0	0	0	17439
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Cost (Including Govt. FTE costs)																		
Budgetary Resources	11330	1096	1350	1258	752	895	608	608	16	0	0	0	0	0	0	0	0	17913
Proposed Budget	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Government FTE Costs																		
Budgetary Resources	1627	197	70	120	124	71	71	71	16	0	0	0	0	0	0	0	0	2367
PY President's Budget																		
Total Budget (\$)							0	0										
Total Change (\$)							608	608										
Total Change (%)							0	0										



## Full Time Equivalents

Use the following table to provide the number of Government Full Time Equivalents (FTE) represented by the Government FTE Costs in the Summary of Funding Table. Numbers should be entered in decimal format for each of the categories listed.

FTE Table

	2012 and Prior	2013	2014	2015	2016	2017	PY 2018	CY 2019	BY 2020	BY + 1 2021	BY + 2 2022	BY + 3 2023	2024	2025	2026	2027	2028 and Beyond	Total
Security	2	0.5	0	0	0.4	0.4	0.3	0.3	0	0	0	0	0	0	0	0	0	3.9
IT	4	1.1	0.4	0.9	0.5	0.5	0	0	0	0	0	0	0	0	0	0	0	7.4
Financial Management	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Program Management	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0.2	0.2	0.1	0	0	0	0	0	0	0	0	0.5
Total*	6	1.6	0.4	0.9	0.9	0.9	0.5	0.5	0.1	0	0	0	0	0	0	0	0	11.8

## Funding Sources



BY13 CPIC Lite: BAS - Budget Automation System (Revision 39)

Funding Sources

\* Costs in thousands

FS Name: MAX Code	Type	Row Type	2012 & Prior	2013	2014	2015	2016	2017	PY 2018	CY 2019	BY 2020	BY + 1 2021	BY + 2 2022	BY + 3 2023	2024	2025	2026	2027	2028 & Beyond	Total	BY Budget Authority
Environmental Programs and Management (EPM): 020-00-0108-0 Internal: Yes		DME	309	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	309	0
		SS	7436.1	870.6	1101.6	982	600	769	532	532	16	0	0	0	0	0	0	0	0	12839.3	16
		Total	7745.1	870.6	1101.6	982	600	769	532	532	16	0	0	0	0	0	0	0	0	13148.3	16
Oil Spill Response: 020-00-8221-0 Internal: Yes		DME	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		SS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Superfund (SF): 020-00-0250-0 Internal: Yes		DME	165	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	165	0
		SS	1810.2	225.8	248.4	276	152	126	76	76	0	0	0	0	0	0	0	0	0	2990.4	0
		Total	1975.2	225.8	248.4	276	152	126	76	76	0	0	0	0	0	0	0	0	0	3155.4	0
Total Yearly Budgets:  Internal: No		DME	474	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	474	0
		SS	9246.3	1096.4	1350	1258	752	895	608	608	16	0	0	0	0	0	0	0	0	15829.7	16
		Total	9720.3	1096.4	1350	1258	752	895	608	608	16	0	0	0	0	0	0	0	0	16303.7	16

**Security, Privacy and Risk**

## Security, Privacy and Risk

Does the investment have an up-to-date Security Plan that meets the requirements of OMB policy and NIST guidelines?

Yes

If yes, what is the date of the plan?

6/30/2011

Has the investment been Certified and Accredited (C&A)?

Yes

If yes, provide the certification date:

6/30/2011

Does the investment collect Personal Identifiable Information (PII)?

No

If yes, is the PII classified by EPA as Sensitive PII (e.g. SSN, financial or health records)?

Has the investment conducted a Privacy Impact Assessment (PIA)?

N/A

**Exhibit 53 Questions**

## Exhibit 53A Questions

Cross-Boundary Information Sharing Identifier

None

Data.gov Integration Identifier

None, the investment does not publish data through Data.gov

Business Reference Model (BRM) Mapping

402129

Service Code Mapping

753628

Is this investment accounted for in the agency Data Center Consolidation Plan?

Yes

Provide the six digit code corresponding to the agency segment architecture. The segment architecture codes are maintained by the agency Chief Architect. For detailed guidance regarding segment architecture codes, please refer to [www.whitehouse.gov/omb/e-gov](http://www.whitehouse.gov/omb/e-gov)

115-000

Supports Information Sharing, Access, and Safeguarding None  
(select all that apply; Applies to BY16 and prior)

What is the amount of this investment's PY funding associated with the agency's HSPD-12 implementation? 0  
(\* Costs in thousands)

If this investment supports homeland security, Indicate None  
by corresponding number which homeland security mission area(s) this investment supports?

OMB Short Description

BAS - Budget Automation System, formerly titled BFS - Budget Formulation System, is EPA's Budgeting System. As of 2011, this investment is detached from OCFO Legacy Financial System business case. Retirement to occur in FY 2019 depending upon BFS hosting project.

## Exhibit 53B Security Costs Table

Enter data for only Rows 4, 5, 7 & 8.

### IT Security Spending (Exhibit 53B)

Security Category	PY	CY	BY
Number of Government FTEs with information security responsibilities	0	0	0
Average cost per Government FTE	0	0	0
Number of Contractor FTEs with information security responsibilities	0	0	0
Average cost per Contractor FTE	0	0	0
Total IT Security Tools Costs:	0	0	0
Costs for NIST 800-37 implementation	0	0	0
Number of systems scheduled for activities represented in Row 15	0	0	0
Annual FISMA testing costs	0	0	0
Network penetration testing activities costs	0	0	0
Security awareness training costs	0	0	0
Security training costs for employees with significant security responsibilities	0	0	0

## Milestones

## Cost and Schedule Performance Table

**Master Cost & Schedule: Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline**

\* Costs in thousands

This table represents milestones at Work Breakdown Structure level 1

Activity Number	Is Complete	Project **	Activity Name**	Activity Description**	Structure ID**	OMB ID**	Current Baseline									Include In ITDB		
							Total Cost			Start Date			Completion Date					
							Planned**	Projected	Actual	Planned**	Projected	Actual	Planned**	Projected	Actual			
A.1	Yes	Citrix	Regional Implementation	Implement Citrix in all 10 regions	10061-A.1		\$48.000	\$48.000	\$48.000	11/10/2010	11/10/2010	11/10/2010	12/7/2011	12/7/2011	12/7/2011	Omit Synchronization		
A.2	Yes	Citrix	Headquarter Implementation	Implement Citrix in the rest of the Offices in the Agency. This will coincide with the implementation of Windows 7, ensuring compatibility between the softwares.	10061-A.2		\$48.000	\$48.000	\$48.000	10/1/2012	10/1/2012	10/1/2012	12/31/2012	12/31/2012	12/31/2012	Omit Synchronization		
B.1	Yes	BAS Maintenance	Maintenance/Retirement Phase 1	Maintain the remaining functions in BAS while the other requirements in BFS are being developed.			\$257.000	\$372.000	\$331.500	7/1/2017	7/2/2017	7/1/2017	12/30/2017	12/29/2017	12/30/2017	Omit Synchronization		
B.2	Yes	BAS Mainten	Maintenance/Retirement Phase 2	Plan for the retirement			\$65.000	\$297.000	\$300.000	1/1/2018	1/2/2018	1/1/2018	6/30/2018	6/29/2018	6/30/2018	Omit Synchroniz		

Activity Number	Is Complete	Project **	Activity Name**	Activity Description**	Structure ID**	OMB ID*	Current Baseline									Include In ITDB		
							Total Cost			Start Date			Completion Date					
							Planned**	Projected	Actual	Planned**	Projected	Actual	Planned**	Projected	Actual			
		ance		of BAS. Decide how to retire BAS and gather the required resources. At the same time, keep BAS operating while other BFS modules need to be completed.												ation		
B.3	No	BAS Maintenance	Maintenance/Retirement Phase 3	Begin SLCM documentation and complete all retirement activities and cease operation.			\$32.000	\$149.000		7/1/2018	7/2/2018	7/1/2018	9/30/2018	12/30/2018		Omit Synchronization		
B.4	No	BAS Maintenance	Maintenance/Retirement Phase 4	Complete any decommissioning activities required.			\$15.000	\$7.500		10/1/2018	1/1/2019		12/30/2018	6/30/2019		Omit Synchronization		
B.5	No	BAS Maintenance	Maintenance/Retirement Phase 5	Complete any decommissioning activities required.			\$3.750	\$3.750		7/1/2019	7/2/2019		9/30/2019	9/29/2019		Omit Synchronization		

## Optional Questions

### General

What percentage of the total IT budget was allocated to security in BY 2012?

What percentage of the total IT budget will be allocated to security in BY 2013?

List the investment's performance indicators.

Was an operational analysis or customer survey conducted? No

If yes, describe the results of the operational analysis or survey.

What project management qualifications does the Project Manager have? (per FAC-P/PM)? Project manager assigned but qualification status review has not yet started.

### Enterprise Architecture

How does the investment support achieving EPA's (or your office's) Target Architecture?

Investment is a legacy system when replacement is scheduled we will update the architecture.

Please list any PART programs the investment supports or plans to support: N/A

Please list any eGov, FTF, or LoB initiatives the investment currently or plans to support or utilize: N/A

Select the Agency enterprise tools/services this investment utilizes. (Select all that apply) Other

### Alternatives Analysis

Did you conduct an alternatives analysis for this investment? Yes

If "yes," what is the date of the analysis?

If no analysis is planned, please briefly explain why:

If yes, describe the results of the alternatives analysis.

Two rounds of alternative analysis were performed to determine whether to replace BAS and how to replace it. One under the auspices of OMB's Budget Line of Business activity, which looks at systems across the federal government. The other was a more tailored EPA-specific analysis.

Other existing government and private sector systems were looked at as options by the EPA, but no other systems met EPA's requirements other than the current BAS / Budget Formulation System. Development of Budget Formulation System is a preferred option. Alternatives described, below.

List and describe three alternatives identified for this investment (may include Status Quo).

1. Status Quo - Will require using Citrix to maintain usability when the EPA transitions to Windows 7. However, there are other issues associated with the software, and replacement is preferred over using existing oracle versions that have ongoing software problems. In addition, there are functionality enhancements the EPA needs that will provide significant efficiencies in staff time, and also enable offices to eliminate local systems. In addition, the current system is written to interact with Lotus Notes database which is currently being migrated to the Microsoft suite of tools. The status quo is becoming less of a viable option due to supporting applications and inherent outdated technologies.

2. Rewrite and update - As described above, enhancements in functionality have been identified by the EPA that will save significant staff time, and provide an enterprise solution that replaces a number of locally maintained smaller systems.

Other agencies have indicated interest in using a system with the functions in EPA's BAS / BFS if configured to their budget structures. The Budget Formulation System is being offered as a Shared Service to other agencies while utilizing the cloud hosting model, creating savings for the federal government overall and meeting the recent guidance from OMB. To meet that goal, BFS has been established as a new Working Capital Fund service to other agencies.

3. Modify existing government systems - The review looked at systems in place across a number of other agencies. These systems were generally rudimentary and would prove more expensive to modify them than to proceed with the Budget Formulation System development.

What is the impact of NOT funding this investment?

The budgetary information of the agency cannot be formulated without the BAS investment. The same will apply to the replacement system once it is in place - the agency will not be able to formulate budgetary information without the Budget Formulation System. Thus, the agency and external stakeholders will not be able to make the appropriate budget decisions without the Budget Formulation System.

Not replacing the legacy system will mean the agency continues to use outdated technology with increasing costs of maintenance, and forgoes the advantages and efficiencies expected from new functionality that is planned. In addition, the agency and the wider federal government would lose the potential benefit of providing a federal shared service in this area.

As noted before, this CPIC provides a transition from the agency's old legacy status to an improved system. The current BAS system has been in production since 1997 and will be retired for the new BFS system in 2017.

## Security and Risk

Does the investment have a Risk Plan? No

If yes, provide the date of the Risk Plan:

If no, describe the strategy for managing and addressing risk:

We have a COOP fail over plan as well as routine backup procedures, and offsite data storage. In addition, access logs are reviewed twice a month at a minimum.

If the Security categorization (ASSERT/SysCat) is a Moderate level or higher, does the investment have a current Security Risk Assessment? Yes

If yes, provide the date of the Security Risk Assessment: 6/30/2011

If no, explain:

How are contractor security procedures monitored, verified and validated by the Agency?

Contract products are closely monitored by system manager and security officer.